

Form PTO-1390

P21587.P01

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

ATTORNEY DOCKET NUMBER

P21587

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

09/926355

INTERNATIONAL APPLICATION NO.

PCT/JP00/02573

INTERNATIONAL FILING DATE

20 April 2000

PRIORITY DATE CLAIMED

20 April 1999

TITLE OF INVENTION

TRICYCLIC COMPOUND

APPLICANT(S) FOR DO/EO/US  
Naoyuki NISHIKAWA, Masaharu SUGAI, Kozo AOKI, Makoto SUZUKI, Akihiko IKEGAWA, Kazunobu TAKAHASHI, Fukuichi OHSAWA,  
Naomi MASUDA, Nobukazu KAKUI, Jiro TANAKA, Yuji TABATA, and Kenji ASAI

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information.

1. ☒ This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to promptly begin national examination procedures (35 U.S.C. 371(f)).
4. ☒ The US has been elected by the expiration of 19 months from the priority date (PCT Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371 (c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3))
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).  
"Unexecuted"
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (U.S.C. 371(c)(5)).

Items 11 to 16 below concern other document(s) or information included:

11. Assignee: MEIJI SEIKA KAISHA, LTD. of Tokyo, JAPAN
12. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
13. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
14. ☒ A FIRST preliminary amendment.  
☐ A SECOND or SUBSEQUENT preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ Figure of Drawing to be published \_\_\_\_\_
18. ☒ Other items or information:
  - Cover Sheet and International Application as published in Japanese.
  - PCT/RO/101-PCT Request(in Japanese).
  - PCT/IPEA/409.
  - PCT/IPEA/408(in Japanese).
  - PCT/IB/301.
  - PCT/IB/304.
  - PCT/IB/308.
  - PCT/IB/332.
  - PCT/IB/338.
  - PCT/ISA/210(in English and Japanese).
  - Cover Letter under 35 USC 371 and 1.495.
  - Claim of Priority.

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

INTERNATIONAL APPLICATION NO.

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19. ☒ The following fees are submitted:

Basic National Fee (37 CFR 1.492(a)(1)-(5)):

Search report has been prepared by the EPO or JPO. .... \$ 890.00  
International preliminary examination fee paid to USPTO (37 CFR 1.482). .... \$ 710.00  
No international preliminary examination fee paid to USPTO (37 CFR 1.482) but  
international search fee paid to USPTO(37 CFR 1.445(a)(2)). .... \$ 740.00  
Neither international preliminary examination fee (37 CFR 1.482) nor  
international search fee (37 CFR 1.445(a)(2) paid to USPTO. .... \$1,040.00  
International preliminary examination fee paid to USPTO (37 CFR 1.482) and all  
claims satisfied provisions of PCT Article 33(2)-(4). .... \$ 100.00

ENTER APPROPRIATE BASIC FEE AMOUNT =

Surcharge of \$130.00 for furnishing the oath or declaration later than 20 30  
months from the earliest claimed priority date (37 CFR 1.492(e)).

Claims	Number Filed	Number Extra	RATE
Total Claims	29 - 20 =	9	X \$18.00
Independent Claims	2 - 3 =	0	X \$84.00
Multiple dependent claim(s) (if applicable)			+ \$280.00

TOTAL OF ABOVE CALCULATIONS =

☐ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced  
by 1/2.

SUBTOTAL =

Processing fee of \$130.00 for furnishing the English translation later than 20 30  
months from the earliest claimed priority date (37 CFR 1.492(f)).

Extension of Time fee in the amount of \$

TOTAL NATIONAL FEE =

Fee for recording the enclosed assignment (37 CFR 1.21(h). The assignment must be  
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property

TOTAL FEES ENCLOSED =

Amount to be  
refunded \$

Charged \$

a. ☒ A check in the amount of \$1052.00 to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$\_\_\_\_\_ to cover the above fees.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to  
Deposit Account No. 19-0089.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and  
granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO CUSTOMER NO. 7055

AT THE PRESENT ADDRESS OF:

Bruce H. Bernstein  
GREENBLUM & BERNSTEIN, P.L.C.  
1941 Roland Clarke Place  
Reston, VA 20191  
(703) 716-1191



007055

PATENT AND TRADEMARK OFFICE

*Bruce H. Bernstein*  
SIGNATURE  
Bruce H. Bernstein  
NAME

29,027  
REGISTRATION NUMBER

P21587.P02

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant :N. NISHIKAWA et al.

Appl. No :Not Yet Assigned  
(U.S. National Phase of PCT/JP00/02573)

I.A.Filed:April 20, 2000

For :TRICYCLIC COMPOUND

**COVER LETTER ACCOMPANYING U.S. NATIONAL STAGE PATENT  
APPLICATION FILED UNDER 35 U.S.C. 371  
AND 37 C.F.R. 1.495**

Commissioner of Patents and Trademarks  
Washington, D.C. 20231

Sir:

Enclosed is a new National Stage patent application for filing in the U.S. Patent and Trademark Office under 35 U.S.C. 371 and 37 C.F.R. 1.495. The Declaration and Power of Attorney attached thereto are in unexecuted form. A properly executed Declaration and Power of Attorney will be filed within the period of time set in a Notification to be mailed by the United States Patent and Trademark Office.


Applicants note that the name of the eighth inventor has been changed from Naomi Takei to Naomi Masuda, due to marriage.

Related to this, a correspondence address is provided in the unexecuted Declaration and Power of Attorney, and is as follows:

GREENBLUM & BERNSTEIN, P.L.C.  
1941 Roland Clarke Place  
Reston, Va. 20191

If there any questions pertaining to this National Stage Application, please contact the undersigned.

Respectfully submitted,  
N. NISHIKAWA et al.

  
Bruce H. Bernstein  
Reg. No. 29,027

Reg No  
33,329

October 19, 2001  
GREENBLUM & BERNSTEIN, P.L.C.  
1941 Roland Clarke Place  
Reston, VA 20191  
(703) 716-1191

PATENT APPLICATION SERIAL NO. 09/926355

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE  
FEE RECORD SHEET

10/23/2001 LLANDGRA 00000081 09926355

01 FC:970	890.00 OP
02 FC:966	162.00 OP

PTO-1556  
(5/87)

\*U.S. GPO: 2000-468-987/39595